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CHAIRMAN

JIM IRVIN
COMMISSIONER

WILLIAM A. MUNDELL
COMMISSIONER



SECURITIES DIVISION
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ARIZONA CORPORATION COMMISSION

MEMORANDUM

TO: Chairman Carl J. Kunasek
Commissioner Jim Irvin
Commissioner William A. Mundell

FROM: Mark Sendrow *MS*
Director of Securities

DATE: April 7, 2000

RE: Notice of Docket Opening; RS-00000A-99-0691

CC: Brian C. McNeil, Executive Secretary

Arizona Corporation Commission

DOCKETED

APR 11 2000

DOCKETED BY	<i>Mac</i>
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The Securities Division is opening a new docket for consideration of a new Article 2 in the Securities Act containing rules R14-4-201 through R14-4-209. The new article provides for a limited registration for Canadian dealers and their salesmen to operate in Arizona under specific and limited circumstances.

The rules within the article detail registration prerequisites, documentation requirements, limitations on authorized activity, and provisions for denial and revocation of the limited registration. The content of the article is patterned after Section 201 of the Uniform Securities Act as adopted by the North American Securities Administrator's Association membership in 1995.

Attached is a copy of the notice that the Division will be filing with the Office of the Secretary of State for noticing in the Arizona Administrative Register.

Attachment

NOTICE OF RULEMAKING DOCKET OPENING

ARIZONA CORPORATION COMMISSION, SECURITIES DIVISION

1. **Title and its heading:** Title 14; Public Service Corporations; Corporations and Associations; Securities Regulation

Chapter and its heading: Chapter 4; Securities

Article and its heading: Article 2. Canadian Dealers and Salesmen

Section numbers: R14-4-201 through R14-4-209

2. **Subject matter of proposed rules:** Proposed R14-2-201 through R14-4-209 provide for a limited registration for Canadian dealers and their salesmen to operate in Arizona under specific and limited circumstances. The rules detail registration prerequisites, filing requirements, limitations on authorized activity, maintenance of registration, and provisions for denial and revocation of the limited registration. The content of the article is patterned after Section 201 of the Uniform Securities Act as adopted by the North American Securities Administrator's Association membership in 1995. Additional sections may be added, deleted, or modified.

Agency docket number: Docket Number RS-00000A-99-0691

3. **A citation to all published notices relating to the proceeding:** None

4. **The name and address of agency personnel with whom persons may communicate regarding the rule:**

Name: Sharleen A. Day, Associate General Counsel
Address: Arizona Corporation Commission, Securities Division
1300 W. Washington, Third Floor
Phoenix, AZ 85007
Phone: (602) 542-4242
Fax: (602) 594-7471

5. Time during which the agency will accept written comments: Monday – Friday,
8:00 a.m. – 5:00 p.m.

Time and place where oral comments may be made: Monday - Friday, 8:00
a.m. - 5:00 p.m. at the Securities Division as noted in Question 4. No Hearing Date
has been set.

6. A timetable for agency decisions or other action on the proceeding, if known:
Not known.